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PTO/SB/21 (08-00)

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/632,009
Filing Date	July 31, 2003
First Named Inventor	Chongying Xu
Group Art Unit	2812
Examiner Name	TBA
Attorney Docket Number	ATMI-537-CIP

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Copies of 3 references
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	William F. Ryann, Reg. No. 44,313
Signature	
Date	December 22, 2003

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited pursuant to 37 C.F.R. 1.8 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: <u>12/22/03</u>	
Type or printed name	Lee Ann DiLallo
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Date	<u>12/22/03</u>

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ATMI-537-CIP
PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Chongying Xu, et al.

Group Art Unit: 2812

U.S. Application No.: 10/632,009

Examiner: TBA

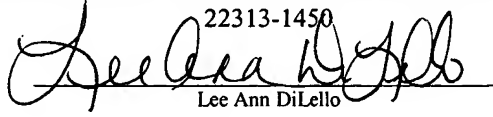
Filed: July 31, 2003

Title: SUPERCRITICAL FLUID-ASSISTED DEPOSITION OF MATERIALS ON
SEMICONDUCTOR SUBSTRATES

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Lee Ann DiLello
12/22/2003
Date

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required in accordance with 37 CFR § 1.56 and § 1.97(b).

- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was the first citation of such item by a foreign patent office in a counterpart foreign application, which occurred no more than three months prior to filing the Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ c. Attached is our check no. ____ in the amount of \$180 in payment of the fee under 37 C.F.R. §1.17(p). Please credit or debit Deposit Account No. 50-0860 as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Attached is our check no. ____ in the amount of \$130.00 in payment of the petition fee under 37 C.F.R. §1.17(i)(1). Please credit or debit Deposit Account No. ____ as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was the first citation of such item by a foreign patent office in a counterpart foreign application which occurred no more than three months prior to filing the Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
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- ☐ 4. (other):

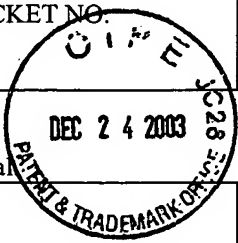
Applicant does not believe that any additional fee is due in connection with the foregoing.
However, any deficiencies may be charged to the deposit account 50-0860.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "William F. Ryann". The signature is fluid and cursive, with the first name "William" and last name "Ryann" clearly distinguishable.

William F. Ryann
Registration No. 44,313
Attorney for Applicant

Date: December 22, 2003
Advanced Technology Materials, Inc.
7 Commerce Drive
Danbury, CT 06810
Attorney Ref: ATMI-537-CIP

FORM PTO-1449 US Dept. of Commerce Patent and Trademark Office		ATTORNEY DOCKET NO. ATMI-537-CIP APPLICANT Chongying Xu, et al. FILING DATE July 31, 2003		SERIAL NO. 10/632,009 GROUP 2812		
INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)						
U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,840,897	Kirlin, et al.			
	AB	5,453,494	Kirlin, et al.			
	AC	6,110,529	Gardiner, et al.			
	AD	5,820,664	Gardiner, et al.			
	AE	5,225,561	Kirlin, et al.			
	AF	5,789,027	Watkins, et al.			
	AG	6,576,345 B1	Van Cleemput, et al.			
	AH	5,211,342A	Hoy, et al.			
	AI	6,207,522B1	Hunt, et al.			
	AJ	10/632,009	Chongying Xu, et al.			11/25/2002
FOREIGN PATENT DOCUMENTS						
	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLAS S	TRANSLATION YES NO
						X (abstract only)
OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)						
	AK	Brian N. Hansen, et al., "Supercritical Fluid Transport-Chemical Deposition of Films" Chemical Materials, 1992, 4, 749-752.				
	AL	Jason M. Blackburn, et al., "Deposition of Conformal Copper and Nickel Films from Supercritical Carbon Dioxide" Science, Vol 294, October 5, 2001, pgs. 141-145				
	AM	C.Y. Xu, et al., "Supercritical Carbon Dioxide Assisted Aerosolization for Thin Film Deposition, Fine Powder Generation, and drug delivery", Green Chemistry, Editors: Anastas, Paul T., et al. Oxford University Press, Oxford, UK, pgs. 312-335.				
Continue on Page						
EXAMINER				DATE CONSIDERED		
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.						